 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

DOWNLOADED AND/OR HARD COPY UNCONTROLLED


Verify that this is the correct version before use.

APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	Management System Representative	06/01/2005

REVISION HISTORY			
Rev. No.	Description of Change	Author	Effective Date
Basic	Initial Release	Frank Gmeindl	09/10/2003
A	Remove implied requirement that performance reviews are quarterly	Lisa Montgomery	05/25/2004
B	Updated reference documents to include relevant standards. Evaluated and updated the metrics collected as a result of this process.	Wes Deadrick	11/03/2004
C	Align with current practice	Frank Gmeindl	06/08/2005

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV 09-3	Research Program
IVV 16	Control of Quality Records
NASA STD 8739.8	Standard for Software Assurance
NPR 1441.1	NASA Records Retention Schedules Flowchart

CHECK THE MASTER LIST at <http://ims.ivv.nasa.gov/>
 VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE

 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

1.0 Purpose

The purpose of this Work Instruction (WI) is to establish a consistent method for conducting research initiative performance reviews. This WI is one of a set of WIs for implementing System Level Procedure (SLP) IVV 09-3, Research Program.


2.0 Scope

This WI is applicable to all research initiatives. This WI is applicable to all research initiative principal investigators (PIs), research initiative Government Points of Contact (POCs), the Facility Research Lead, the Facility Research Chair, the Facility Support Contractor, and other Facility personnel involved with the research program. It covers the Software Assurance Research Program (SARP), as well as Director's Discretionary Fund (DDF)-sponsored research.

3.0 Definitions and Acronyms

3.1 Acronyms

CI	Center Initiative
CIM	Center Initiative Management
DDF	Director's Discretionary Fund
IV&V	Independent Verification and Validation
NASA	National Aeronautics and Space Administration
NPR	NASA Procedural Requirements
PI	Principal Investigator
POC	Point of Contact
SARP	Software Assurance Research Program
SLP	System Level Procedures
STD	Standard
WI	Work Instruction

 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

4.0 Flow Chart

Figure 4-1 depicts the initiative performance review process. The steps in this process are described in Section 6, Process, of this WI. The step numbers in Figure 4-1 correspond with the step numbers in Section 6, Process, of this WI.

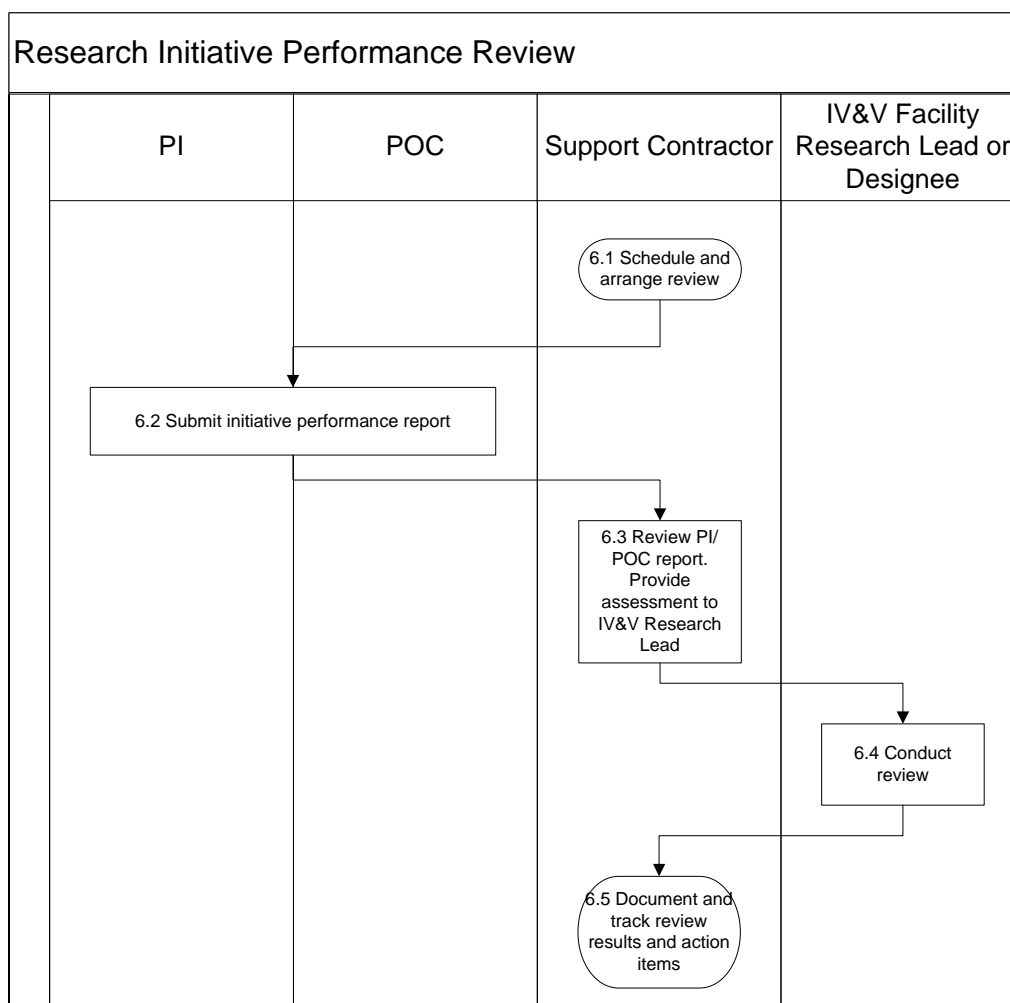



Figure 4-1: Research Initiative Performance Review Process

 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

5.0 Responsibilities

5.1 Facility Research Lead or Designee

The Facility Research Lead or Designee shall:

- Review initiative performance review reports.
- Conduct initiative performance reviews.

5.2 Support Contractor


The Support Contractor shall:

- Schedule initiative performance reviews.
- Arrange initiative performance review meetings.
- Facilitate initiative performance review meetings.
- Record initiative performance review meeting results and track action items to closure.
- Review initiative performance review reports and provide assessments to Facility Research Lead.
- Maintain initiative performance review status and data in the Center Initiative Management (CIM) Tool.

5.3 Center Initiative Management (CIM) Tool

The CIM Tool shall:

- Display initiative performance review status.
- Manage initiative performance review report workflow.
- Maintain initiative performance review reports.
- Maintain initiative performance review results.

 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

5.4 Government Point Of Contact

The Government POC shall:

- Ensure timely and accurate initiative performance review report submissions into the CIM Tool.
- Present initiative performance review reports at initiative performance review meetings.

5.5 Principal Investigators

The PIs shall:

- Submit timely and accurate initiative performance review reports.
- Support the Government POC in initiative performance review presentations.

6.0 Procedure

The following procedure describes the steps shown in Figure 4-1

6.1 Support Contractor Schedules and Arranges Review


The Support Contractor:

1. Coordinates schedules of all participants and schedules reviews.
2. Arranges initiative performance review meeting facilities.
3. Maintains initiative performance review status in the CIM Tool.

6.2 PI and Government POC Submits Initiative Performance Report

The Government POC and the PI work together to submit timely and accurate initiative performance review reports. They:

1. Download initiative performance review report template from the CIM Tool.
2. Populate the template.
3. Upload the populated template into the CIM Tool.

 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

6.3 Support Contractor Reviews PI/Government POC Report and Provides Assessment to Facility Research Lead

The CIM Tool notifies the Support Contractor that an initiative performance review report has been uploaded to the CIM Tool. The Support Contractor downloads the report, reviews it, and submits an assessment into the CIM Tool. The assessment includes an evaluation of the completeness of the report and insights into the status of initiative deliverables and finances.

6.4 Facility Research Lead Conducts Review


The Facility Research Lead leads the initiative performance review meeting. The Support Contractor facilitates the meeting by ensuring that all participants see the submitted review reports, engage in free and open discussion, and that all action items are understood, accepted, recorded, and tracked to closure.

6.5 Support Contractor Documents and Tracks Review Results and Action Items

The Support Contractor records initiative performance review meeting minutes and action items in the CIM Tool.

7.0 Metrics

The Facility uses the CIM Tool to track the planned vs. held status of initiative performance reviews, as well as review reports and review meeting results. On a monthly basis, the Facility updates and reviews trend charts that show over a calendar year duration and in monthly increments the cumulative number of reviews planned vs. the cumulative number of reviews held. The results are compared with such performance in the past year to assess change in the success of conducting research initiative performance reviews.

 Independent Verification & Validation Facility	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: C Effective Date: June 08, 2005
--	--	---

8.0 Records

The following records, as shown in Table 8-1, are generated and managed in accordance with IVV 16, Control of Quality Records, and in reference to NPR 1441.1, NASA Records Retention Schedules.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
Delivered Initiative Performance Review Reports	Research Lead	Permanent	CIM Tool
Initiative Performance Review Results	Research Lead	Permanent	CIM Tool
Initiative Performance Review Action Items	Research Lead	Permanent	CIM Tool

Table 8-1: Records Generated and Managed